

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.

1. Agency/Subagency originating request	2. OMB control number b. <input type="checkbox"/> None a. _____ - _____
3. Type of information collection (<i>check one</i>) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested (<i>check one</i>) a. <input type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____ c. <input type="checkbox"/> Delegated 5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No 6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
7. Title	
8. Agency form number(s) (<i>if applicable</i>)	
9. Keywords	
10. Abstract	
11. Affected public (<i>Mark primary with "P" and all others that apply with "x"</i>) a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond (<i>check one</i>) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual recordkeeping and reporting burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden (<i>in thousands of dollars</i>) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (<i>Mark primary with "P" and all others that apply with "X"</i>) a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting (<i>check all that apply</i>) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency Contact (person who can best answer questions regarding the content of this submission) Name: _____ Phone: _____

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator or head of MB staff for L.O.s, or of the Director of a Program or Staff Office)	
Signature	Date
Signature of NOAA Clearance Officer	
Signature	Date

SUPPORTING STATEMENT
FOR
RENEWAL & REVISION OF PERMIT FAMILY OF FORMS

(Federal Fisheries Permit, Federal Processor Permit,
High Seas Power Troller Salmon Permit, and Exempted Fishing Permit)

OMB Number 0648-0206

Prepared by
National Marine Fisheries Service
Alaska Region



June, 2000

INTRODUCTION

Beginning with the passage of the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson Act-Stevens) as amended through October 11, 1996, the Secretary of Commerce (Secretary) has undertaken a set of objectives for the conservation and management of marine fishery resources. Under this stewardship role of one of the Nation's natural resources, the Secretary was given certain regulatory authorities to ensure the most beneficial uses of these resources. One of the regulatory steps taken to carry out the conservation and management objectives is the requirement for permits for users of the resources.

The Magnuson-Stevens Act authorizes the North Pacific Fishery Management Council (Council) to prepare and amend fishery management plans for any fishery in waters under it's

jurisdiction. The Council prepared fishery management plans (FMPs) for the following fisheries in the Exclusive Economic Zone (EEZ) off Alaska: Groundfish fisheries in the Gulf of Alaska (GOA) EEZ under the Fishery Management Plan for Groundfish of the GOA; groundfish fisheries in the Bering Sea and Aleutian Islands Management Area (BSAI) EEZ under the Fishery Management Plan for the Groundfish Fishery of the BSAI; and Fishery Management Plan for the High Seas Salmon Fishery off the Coast of Alaska East of 175°E long. These FMPs are implemented by regulations at 50 CFR part 679. Under the authority of these FMPs, NMFS has promulgated rules for the issuance of permits. General regulations that also pertain to these fisheries appear in subpart H of 50 CFR part 600.

JUSTIFICATION

In use since 1990, this collection-of-information is used to monitor and manage participation in groundfish fisheries by the NMFS, Alaska Region and consists of the following permits: Federal fisheries permit, Federal processor permit, High seas power troller salmon permit, and exempted fishing permit.

The issuance of a permit is an essential ingredient in the management of fishery resources. Identification of the participants and expected activity levels is needed to measure the consequences of management controls, and is an effective tool in the enforcement of other fishery regulations. Section 303(b)(1) of the Magnuson-Stevens Act (16 U.S.C. 1801 et. seq.) specifically recognizes the need for permit issuance. Almost every international, Federal, state, and local fishery management authority recognizes the value of and uses permits as part of their management systems.

Experience has shown that fines for violations of specific fishery regulations are not as effective as the threat of a permit revocation that would exclude the participant from the fishery altogether. Fines for fishing activity without a permit are more substantial and easier to enforce than fines for other violations. Vessels may be willing to pay the lower fines if the violation brings enough economic benefit, but do not want to be excluded from the fishery.

The following summary indicates the types of information that would be requested under this statement.

1. Need to conduct the information collection.

The purpose of this collection-of-information is to allow NMFS to administer fishing and processing for the GOA and BSAI groundfish fisheries. To implement the intent of the Magnuson-Stevens Act, NMFS created a set of vessel and processor permits and established a family of application forms that vessels and processors must use when applying to NMFS for fishing and processing permits. An additional application is available to request revision to each of the permits. Exempted fishing permits are valid for only a specified amount of time during a fishing year.

2. How, by whom, how frequently, and for what purpose information will be used.

The information is collected on paper application forms and submitted by participants to NMFS Restricted Access Management (RAM) Program, Juneau, Alaska. This collection-of-information provides NMFS Alaska Region a means to uniquely identify the vessel and owner of the vessel and to monitor participation in fisheries. The information requested on the permit

application forms is used by the U.S. Coast Guard (USCG) North Pacific Region and fishery management agencies including NMFS Sustainable Fisheries Division, NMFS RAM, NMFS Observer Program, NMFS Office of Enforcement, and North Pacific Fisheries Management Council.

a. Federal Fisheries and Federal Processor Permits.

The Federal fisheries permit and the Federal processor permit allow NMFS to more fully meet the management responsibilities to the Alaskan groundfish resource through certain requirements imposed on federally-permitted catcher vessels and catcher/processors, and on motherships, shoreside processors, and stationary floating processors that receive fish from federally-permitted catcher vessels, even when the fishing activity is outside of the EEZ off Alaska. Information such as name and address of owner is used to identify the applicant and the legal ownership of the vessel, shoreside processor, or stationary floating processor being permitted. This latter requirement is essential in the use of permit sanctions as a fisheries enforcement tool. For example, violations of regulations may result in suspension of a permit. Since many vessels may be owned by corporations, identification of ownership on the application form allows NMFS to sanction the company as well as the individual vessel operator for repeated violations of federal regulations. Telephone and FAX numbers, as well as E-mail addresses, are required to assist NMFS in processing the application by allowing questions to be resolved more quickly and cheaply than by correspondence. The name of a managing company is needed to identify another person or company that conducts the operation of the business.

Information on the vessel and gear used is needed for identification of participants at sea for boardings and inspections by NMFS enforcement vessels or overflights. The information also precludes substitution of gear or vessels that may otherwise be prohibited by other regulations in effect. Information on the gear type is also used in making management decisions, to demonstrate how possible gear restrictions would affect the members of the fishery and therefore what the anticipated costs of any proposed changes would be.

Information on area of operation is required to identify where the vessel plans to conduct fishing operations. This is important for NMFS to estimate fishing effort in upcoming fisheries.

Information on vessel operations categories is required to identify the following five classes of vessels that are required to obtain a Federal fisheries permit: catcher vessel, catcher/processor, mothership, tender vessel, and support vessel. Catcher/processors, motherships, catcher vessels, and tender vessels that have been issued a Federal fisheries permit and stationary floating processors and shoreside processors that have been issued a Federal processor permit are subject to recordkeeping and reporting requirements specific to each type (OMB Control number 0648-0213).

Observer coverage is linked to groundfish vessels by reported vessel purpose on groundfish permit applications. Implementing regulations require all operators of federally-permitted vessels and managers of shoreside processors and stationary floating processors to comply with observer coverage requirements, which stipulate levels of observer coverage based on vessel type and length or on the amount of groundfish received from federally permitted vessels. These requirements are imposed on all catcher vessels, catcher/processors, and

motherships even when they operate in State of Alaska waters and on all shoreside processors and stationary floating processors if they receive fish from federally-permitted vessels.

Owner signatures are required as legally binding actions which ensure eligibility to receive a permit under the other FMP regulations. False statements without the signature of the applicant would be much harder to prosecute.

The renewal period for the Federal fisheries permit and the Federal processor permit is three years. The application for renewal is printed with the permit information from the previous year and is sent to each permit holder prior to the permit expiration. To complete an application, the applicant is requested to change any incorrect preprinted entry, sign/date, and return to the NMFS.

Per 50 CFR part 679.4(b), no vessel of the United States may be used to fish for groundfish in the GOA or BSAI unless the owner first obtains a Federal fisheries permit for the vessel. A Federal fisheries permit is issued without charge to catcher vessels, catcher/processors, motherships, and vessel buying stations (tenders). Per 50 CFR part 679.4(f), no shoreside processor of the United States or stationary floating processor may receive or process groundfish harvested in the GOA or BSAI unless the owner first obtains a Federal processor permit. A Federal processor permit is issued without charge to shoreside processors and stationary floating processors.

The issuance of a Federal fisheries or processor permit is an essential ingredient in the management of fishery resources. Identification of the number and types of participants, gear types of the harvesters, descriptions of vessels, and expected activity levels in the groundfish

fisheries are needed to measure the consequences of management controls, and creates an effective tool in the enforcement of other fishery regulations.

Block A. Permit application information

Indicate whether applying for Federal fisheries permit or Federal processor permit

Indicate whether applying for amendment to existing permit. If YES, write current permit number.

Block B. Owner information

Owner name

Business mailing address, including street or box, city, state, and zip code

Social security number or Tax identification number

Business telephone number, FAX number, and E-mail address

Managing company name (if any)

Block C. Vessel or stationary floating processor information

Vessel name

Homeport (city and state)

U.S. Coast Guard (USCG) documentation number

ADF&G vessel registration number

ADF&G processor code

Length over (ft) and registered length (ft)

Gross tonnage and net tonnage

Shaft horsepower

Indicate YES or NO whether this is a vessel of the United States

Indicate YES or NO whether this vessel will be used as a stationary floating processor

Block D. Shoreside processor information

Shoreside processor name

Name and Physical location of facility or plant at which this shoreside processor is operating (street, city, state, zip code)

Indicate YES or NO whether the owner named in Block B, above, owns this facility

ADF&G processor code

Business telephone number, FAX number, and E-mail address

Block E. Permit information

Check Gulf of Alaska or Bering Sea and Aleutian Islands or both to indicate areas of operation

If requesting a Federal fisheries permit, indicate the type(s) of vessel operation you request in the Federal groundfish fishery.

If requesting a Federal processors permit, indicate whether shoreside processor or stationary floating processor

If a catcher vessel or catcher/processor, check to indicate type of gear

If a catcher/processor or mothership operating in the Gulf of Alaska, indicate whether area of operation is inshore or offshore

Block F. Signature

Enter name and signature of applicant and date signed

b. High Seas Power Troller Salmon Permit.

NMFS will accept an existing Alaska State power troll permanent entry permit as fulfilling the Federal needs for permit information under the FMP for the salmon fisheries in the EEZ off

the Coast of Alaska. As a result no Federal salmon permits have been issued to fish for salmon in Federal waters during the past few years.

The necessity for regulations requiring Federal salmon limited entry permits, per 50 CFR part 679.4(h), will continue to decrease with time; however, these regulations are necessary as long as there is a reasonable possibility that Federally permitted vessels will fish for salmon off Alaska. The State of Alaska Interim Use and Limited Entry Power Troll licenses serve as a Federal permit. A Federal permit may be issued provided that some time during the years 1975-77, a fisherman: (a) Operated a vessel in the 3-200 mile zone off Alaska; (b) Engaged in commercial fishing for salmon from that vessel in the 3-200 mile zone off Alaska; and (c) Landed salmon caught with power troll gear. If the conditions are met, the fisherman must provide Alaska fish tickets or other landing receipts showing compliance with the above requirements.

c. Exempted fishing permit (EFP).

Per 50 CFR part 679.6(a), for limited exempted purposes, the Regional Administrator may authorize, after consulting with the Council, fishing for groundfish in a manner that would otherwise be prohibited. No exempted fishing may be conducted unless authorized by an exempted fishing permit issued by the Regional Administrator to the participating vessel owner in accordance with the appropriate criteria and procedures.

Exempted fishing provides information not otherwise available through research or commercial fishing operations. Results may be used to supplement information obtained through research. Each exempted fishing permit application must provide a statement of the purpose and goal of the experiment, including a general description of the arrangements for disposition of all species harvested under the permit, and information about the exempted design, e.g. sampling

procedures, the data and samples to be collected, and analysis of the data and samples. Fishing mortality resulting from exempted fishing is outside of any TAC specification. Such additional mortality is authorized only if overfishing as defined in the GOA and BSAI FMPs would not occur.

The EFPs typically are issued on the basis of a fishing year, and expire at the end of that year unless otherwise provided for under regulations authorized for EFP. This expiration requirement is necessary to avoid situations where information obtained from the fishing experiments might not be made available for several years, thereby denying the fishing industry information obtained from the experiment. Progress reports within a specified time and/or a final report will be required at the end of the year for which the permit is issued.

Regulations require only that information be collected that is necessary for the Regional Administrator to determine if the EFP should be issued, and also to monitor the progress of the exempted fishery. Participants who obtain information through EFPs are required to release all information to the public, usually through the use of progress reports and final reports. Upon request, NMFS will disseminate information obtained from the experiment when it becomes available and all information that is obtained through its own investigations. Through the release of information from NMFS and the exempted fishery participants, other interested parties in the fishing industry could make use of information obtained and not need to duplicate efforts already expended by those who initially received an EFP. Private sectors of the fishing industry use the information obtained from exempted fishing programs in a number of ways, e.g.:

Example 1: Roughly ten gear manufacturers are involved in gear development technology for purposes of developing, manufacturing, and selling various gear to the domestic groundfish

industry. Each of them might apply annually for a permit for purposes of trying new gear designs. Changes to traditional gear designs might be developed that would reduce incidental catch rate or mortality rates of fish species that have no economic value and which must be discarded at sea. Often, participants in the fishing industry are not inclined to utilize non-proven gear designs during open fishing seasons, because they are economically forced to catch as much fish as possible before available quotas are reached. By being able to experiment with new gear designs after a season closes, participants can gain information without economically losses otherwise caused by foregone harvests.

Example 2: exploration of potential fishing grounds after a fishery closure to determine if exploitable fish biomass exist outside of standard survey areas. These explorations also may provide information on expected bycatch rates of minor stock components in mixed stock fisheries. As in Example 1, participants can not economically afford to explore new grounds during times when harvest quotas are rapidly being reached on traditional or proven fishing grounds.

d. Scallop Moratorium Permit.

The scallop moratorium program was allowed to expire in the regulations at 50 CFR part 679, as it will be replaced by the scallop license limitation program. The scallop moratorium permit application that once was part of this collection-of-information is removed.

3. Use of improved technology to reduce burden.

The NMFS Federal fisheries and processor permit systems collect information from the owners of vessels and processors to administer Federal fisheries and processor permits. No improved information

technology has been identified as a practical means for reducing the burden on the public. Optical character reader (OCR) technology has been investigated but average response time estimates are not significantly different, whereas the costs for hardware and forms development for the small volume of permits make the technology cost inefficient. We currently are investigating the possibility of online completion of application forms.

4. Efforts to identify duplication.

The operational guidelines of the Magnuson-Stevens Act require each FMP to evaluate existing state and Federal laws that govern the fisheries in question, and the findings are made part of each FMP. The Council membership is comprised of state and Federal officials responsible for resource management in their areas. These two circumstances identify other collections that may be gathering the same or similar information. In addition, each FMP undergoes extensive public comment periods where potential applicants review the proposed permit application requirements.

Alaska State vessel registration requirements to fish for groundfish do not satisfy the enforcement necessity of a Federal groundfish permit (i.e., the ability to suspend a Federal permit for fishery violations). Therefore, NMFS continues to require separate Federal groundfish permits.

The NMFS Federal fisheries and processor permit systems collect information from the owners of vessels and processors to administer Federal fisheries and processor permits which duplicate some of the data fields in the AFA permit applications. However, AFA permit systems are based on catch histories., and it is necessary to identify the universe of participating vessels and processors prior to the start of each fishing year in order to assign allocations of pollock TAC to eligible groups of vessels that

form cooperatives. The AFA establishes a closed class of vessels for the pollock fishery and are non-transferrable. NMFS considered the idea of expanding existing Alaska Federal fisheries permit applications to include all of the information necessary to administer AFA permits. However, this idea was rejected as unnecessarily burdensome to the thousands of non-AFA vessels that currently apply for Alaska Federal fisheries permits and for whom this additional information collection burden would have no value.

The Alaska License Limitation Program (LLP) may appear duplicative to the Federal fisheries permit program. The Federal fisheries permit is issued to a vessel and is available to all who request it. The LLP has qualification procedures for fishermen and issues transferrable permits to fishermen not vessels. LLP permits are freely transferrable and include species and gear endorsements for fisheries unrelated to the BSAI pollock fishery.

5. Methods to minimize the burden on small entities.

The proposed collection-of-information does not impose a significant impact on small entities.

6. Consequences to Federal program activities if the collection were conducted less frequently.

If the information were not collected for the Federal fisheries permit and Federal processor permit, NMFS could not effectively monitor and enforce commercial harvests of the species for which it has stewardship.

If EFPs were not authorized, NMFS would receive greater pressure to obtain information on behalf of the industry. Limited fiscal resources dictate that any studies conducted by NMFS be directed at priority projects only. Unless NMFS were to select certain studies requested by the fishing industry as being high priority, NMFS would decline to conduct the studies and, information needed by the industry would not be obtained.

7. Special circumstances.

No special circumstances exist.

8. Public comment or consultation on the information collection.

A Federal Register Notice solicited public comment and no comments were received.

9. Payment or gift to respondents.

No payment or gift is provided under this program.

10. Assurance of confidentiality provided to respondents and the basis for this assurance in statute, regulation, or agency policy.

The Privacy Act does apply to this collection-of-information because the social security number is requested on a voluntary basis. The social security number is needed basically to avoid inappropriate release of data: to distinguish between same names; to ensure that the records go to the same person through the use of this personal ID; when there are several operators on a vessel owned by a different individual, ensure that the confidential data of each operator is protected;

with mis-spellings and possible duplications, it is necessary to select a unique identifier to find records in the database; and prevents release of confidential data to the wrong person.

The information collected is confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.). It is also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of fishery statistics. These procedures have been implemented under the NMFS Operations Manual entitled, "Data Security Handbook for the Northwest-Alaska Region, National Marine Fisheries Service."

11. Collection of information of a private and sensitive nature.

This collection of information requests the social security number (see item 10).

12/13/14. Total burden hours and annual costs of the collection-of-information for respondents and Federal Government.

The application forms are presented in Attachment 1. No capital or significant start-up costs are associated with this collection-of-information. Personnel cost per hour is calculated as the average wage equivalent to a GS-7 employee in Alaska, including COLA. Miscellaneous costs associated with the collection of information are for mailing materials. Total burden hours and annual cost for the collection of information for respondents and Federal Government are presented in Tables 1 and 2.

Table 1. Annual Time and Cost Burden for Alaska Region's Permit Family of Forms

Federal Fisheries Permit, respondents	
Number of federal fisheries permit per participant	1
Estimated number of participants	2,648
(1954 catcher vessels; 260 catcher/processors; 86 motherships; 169 tender vessels; 25 support vessels)	
Time requirement for each permit	(20 min = .33 hr)
Time requirement for all responses ((2,648 x .33)/ 3 yr)	291 hr
Cost per hour in dollars	\$13/hr
Cost for preparation of permit ((\$13 x 874 hr)/ 3 yr)	\$11,362
Annual fax (1.50 * 2,648)/3 yr	\$3,797
Federal Fisheries Permit, Federal Government	
Number of federal fisheries permits	2,648
Time requirement for handling of each permit	(45 min = .75 hr)
Time requirement for all responses ((2648 x .75)/3 yr)	662 hr
Cost per hour in dollars	\$13/hr
Cost for preparation of permit ((\$13 x 1986 hr)/3 yr)	\$8,606
Federal Processor Permit, respondents	
Number of federal processor permit per participant	1
Estimated number of participants	158
(154 shoreside processors, 4 stationary floating processors)	
Time requirement for each permit	(20 min = .33 hr)
Time requirement for all responses ((158 x .33)/ 3 yr)	17 hr
Cost per hour in dollars	\$13/hr
Cost for preparation of permit ((\$13 x 52 hr)/ 3 yr)	\$225
Annual fax (1.50 * 158)/3 yr	\$79
Federal Processor Permit, Federal Government	
Number of federal processor permits	158
Time requirement for handling of each permit	(45 min = .75 hr)
Time requirement for all responses ((158 x .75)/ 3 yr)	40 hr
Cost per hour in dollars	\$13/hr
Cost for preparation of permit ((\$13 x 119 hr)/ 3 yr)	\$516
High Seas Power Troller Permit in Salmon Fishery, Respondent	
Only two Federal salmon permanent limited entry permits have 0 hr	
been issued since 1979, and no new permit applications are anticipated. For purposes of	
estimating reporting burden, an average of 1 permit application per year is assumed,	
requiring one half hour of the respondent's time.	

Exempted fishing Permit, Respondent

Number of EFP per participant	1
Estimated number of participants	5
Time requirement for preparation of each permit	20 hr
Time requirement for final report	10 hr
Time requirement for each progress report, if required	5 hr
Time requirement for all responses (5 x 35 hr)	175 hr
Cost per hour in dollars	\$20/hr
Total cost per completion of EFP (20 x 175 hr)	\$3,500
Annual postage (0.33 * 2 lb * 5)	\$3.30
Time requirement for all responses (150 hr/3)	50 hr

Exempted fishing Permit, Federal Government.

Estimated number of EFP responses	5
Time requirement for handling of each response	5 hr
Time requirement for all responses (5 x 5 hr)	25 hr
Cost per hour in dollars of handling	\$20/hr
Cost for handling of permit (20 x 25 hr)	\$500
Time requirement for preliminary review of each permit application by the Administrator and AFSC	4 hr
Time requirement for all permits preliminary review	20 hr
Cost per hour in dollars of preliminary review (by Regional representative and AFSC representative, including secretarial support)	\$50/hr
Cost for preliminary review of all permits (\$50 x 20 hr)	\$1,000
Final review of each permit application by Council	2 hr
Cost per hour in dollars of final review	\$1,338/hr
Council Staff	\$2,175
Council members	3,730
Sound system	302
Travel, Council members	1,100
Travel, Advisory Panel	2,100
Travel, SSC	1,000
Miscellaneous	300
	\$10,707/8 hr = \$ 1,338/hr
Time requirement for final review of all permits (5 x 2 hr)	10 hr
Cost for final review (\$1338 x 10 hr)	\$13,338
Total Federal costs	\$14,838

Table 2. Information collection budget (ICB)
under OMB No. 0648-0206.

<u>ANNUAL REPORTING BURDEN</u>	<u>Current</u>	<u>Revision</u>
Federal fisheries permit application		
No. of respondents	2,648	n/c
No. of responses per respondent	.33	
Total annual responses	874	
Hours per response	.33	
Total hours	291	
Federal processor permit application		
No. of respondents	158	n/c
No. of responses per respondent	.33	
Total annual responses	52	
Hours per response	.33	
Total hours	17	
High seas power trollers in Salmon fishery permit application		
of responses per respondent	0	n/c
Total annual responses	0	
Hours per response	0	
Total hours	0	
Exempted fishing permit application		
No. of respondents	5	5
No. of responses per respondent	1	3
Total annual responses	5	15
Time requirement for preparation of each permit		20 hr
Time requirement for final report		10 hr
Time requirement for each progress report, if required		5 hr
Hours per response	30	35
Total hours	<u>150</u>	<u>175</u>
Scallop moratorium permit application		
No. of respondents	10	0
No. of responses per respondent	1.8	0
Total annual responses	18	0
Hours per response	.33	0
Total hours	<u>6</u>	<u>0</u>
Scallop moratorium transfer permit application		
No. of respondents	2	0
No. of responses per respondent	1	0
Total annual responses	2	0
Hours per response	.5	0
Total hours	<u>1</u>	<u>0</u>
TOTAL ICB Reporting Burden	465	483

15. Program changes or adjustments.

This information collection is submitted for renewal and revision. The term “stationary floating processor” is entered into the permit application to replace the special category of mothership that operates only in Alaska State waters and remains stationary throughout the year.

Federal processor and Federal fisheries permits.

Block A–Permit Amendment was changed by removing check boxes that indicated Blocks B through E. Check boxes were added to indicate type of permit requesting. Instructions were added to address separately completion of Federal fisheries permit and Federal processor permit.

Block B–Owner information was unchanged.

Block C–Vessel or stationary floating processor. Title was changed to include stationary floating processor. Term for U.S. Coast Guard was corrected. Term for ADF&G vessel registration number was corrected. Under ADF&G processor code, the “F-----” was removed, since ADF&G now issues codes with other prefixes. A question was added to indicate if the vessel will be used as a stationary floating processor.

Block D–Shoreside processor information. Title was corrected to the proper term. Question was added requesting the name of the shoreside processor. Under ADF&G processor code, the “F-----” was removed

Block E–Permit information. Question 1 changed from “fishery areas” to read “area of operation”. Question 2 changed from “operations categories” to read “federal fisheries permit”. Wording of instructions changed. Revised “mothership (operating in Federal waters)” to read “mothership”, because this permit is only for activities in Federal waters. Removed “mothership

(operating in State waters, receiving groundfish from Federally permitted vessels) since this term describes a stationary floating processor which now is addressed elsewhere. Added question 3 re the federal processor permit. Under gear types, separated jig/troll and made two boxes, one for each.

Experimental fishing permit. A national PRA clearance, 0648-0309, describing scientific activities (scientific permits) at 600.745(b) and exempted fishing reports was offered by NMFS as a national standard. NMFS Alaska Region reviewed and compared the national program with the experimental permit program under OMB Control No. 0648-0206 regulated under 50 CFR 679.6. This comparison revealed differences between the programs such that the Regional Administrator determined that the Alaska Region is preferable for purposes of groundfish management in the EEZ off Alaska, although the title of the permit is changed from experimental permit to read exempted permit to match the national title. The analysis is available upon request. In this action, the addition of required progress reports results in a 25 hour program increase.

Scallop moratorium permit and transfer. These two permit applications are removed, because the scallop moratorium program will be replaced by the scallop license limitation program. This action results in a 7 hour program change reduction.

16. Plans for tabulation and publication.

The information obtained from Federal fisheries permits, Federal processor permits, and High Seas Salmon Permit are not planned to be published for statistical use. Information resulting from issuance of EFPs will be made available to the public. NMFS anticipates that some of this information will be in the form of statistical data.

17. Expiration date for OMB approval of the information collection.

In accordance with OMB requirements, the control number and expiration date of OMB approval will be shown on all forms associated with this program.

18. Exception to the certification statement.

No exceptions to the certification statement exist under this renewal.



APPLICATION FOR
FEDERAL FISHERIES PERMIT
FEDERAL PROCESSOR PERMIT

United States Department of Commerce
National Oceanic and Atmospheric Administration
National Marine Fisheries Service
Alaska Region
P.O. Box 21668
Juneau, Alaska 99802-1668



BLOCK A - PERMIT APPLICATION INFORMATION

Please indicate the type of permit for which you are applying:

- ☐ Federal Fisheries Permit
☐ Federal Processor Permit (shoreside processors and stationary floating processors)

Applicants for a Federal Fisheries Permit must complete Block B, Block C, Block E and sign/date Block F. See application instructions for more detailed information.

Applicants for a Federal Processor Permit must complete Block B, Block C (stationary floating processors) or Block D (shoreside processors), Block E and sign/date Block F. See application instructions for more detailed information.

Is this application being submitted in order to amend an existing federal fisheries or federal processor permit? ☐ Yes ☐ No

If yes, please provide your current federal fisheries permit number or federal processor permit number : _____

BLOCK B - OWNER INFORMATION (all applicants)

1. Owner Name(s)

2. Business Mailing Address (street or box, city, state, zip code)

3. SSN or Tax I.D. (SSN Voluntary)

4. Business Telephone Number

5. Business Fax Number

6. Business E-Mail Address

7. Managing Company Name (If any)

BLOCK C - VESSEL OR STATIONARY FLOATING PROCESSOR INFORMATION

1. Vessel Name

2. Homeport (city and state)

3. U.S. Coast Guard Documentation Number

4. ADF&G Vessel Registration Number

5. ADF&G Processor Code

6. Length Overall (ft) _____

7. Gross Tonnage _____

8. Shaft Horsepower

Registered Length (ft) _____

Net Tonnage _____

9. Is this vessel a vessel of the United States?

☐ Yes ☐ No

10. Will this vessel be used as a stationary floating processor?

☐ Yes ☐ No

BLOCK D - SHORESIDE PROCESSOR INFORMATION

1. Shoreside processor name

2. Name and Physical location of facility or plant at which this shoreside processor is operating (street, city, state, zip code)

3. Does the owner named in Block B, above, own this facility? ☐ Yes ☐ No

4. ADF&G Processor Code

5. Business Telephone Number

6. Business Fax Number

7. Business E-Mail Address

BLOCK E - PERMIT INFORMATION**1. AREA OF OPERATION**

Check one or both areas of operation, as appropriate:

☐ Gulf of Alaska ☐ Bering Sea and Aleutian Islands

2. FEDERAL FISHERIES PERMIT

If requesting a Federal fisheries permit, indicate the type(s) of vessel operation you request in the Federal groundfish fishery. A Federal fisheries permit may be issued for any combination of Catcher Vessel, Catcher/Processor, Mothership, and/or Tender Vessel. In addition a Federal fisheries permit may be issued for a support vessel.

Check one or any combination of the following operation types that apply:

☐ Catcher Vessel
☐ Catcher/Processor
☐ Mothership
☐ Tender Vessel (buying station)

A vessel permitted as a Catcher Vessel, Catcher/Processor, Mothership, and/or Tender Vessel may conduct all operations authorized for a Support Vessel.)

Or check:

☐ Support Vessel

A vessel permitted as a Support Vessel may not conduct activities as a Catcher Vessel, Catcher/Processor, Mothership, and/or Tender Vessel

3. FEDERAL PROCESSOR PERMIT

If requesting a Federal processor permit, indicate whether shoreside processor or stationary floating processor.

☐ Shoreside Processor
☐ Stationary Floating Processor

4. GEAR TYPES (Catcher Vessels and Catcher/Processors Only)

Check only the gear types used for groundfish fishing: ☐ Trawl ☐ Hook and line ☐ Pots ☐ Jig ☐ Troll

5. INSHORE / OFFSHORE (Gulf of Alaska Catcher/Processors And Motherships Only)

Choose inshore or offshore (allocation component) appropriate for the vessel designated in Block B, above.

☐ Inshore ☐ Offshore

You may not have more than one designation during a given year.

BLOCK F - SIGNATURE

Under penalties of perjury, I hereby declare that I, the undersigned, completed this application, and the information contained herein is true, correct, and complete to the best of my knowledge and belief.

Applicant name (please print or type)

Signature

Date

PRIVACY ACT STATEMENT: Your social security number (SSN) is confidential and is protected under the Privacy Act. Disclosure of your SSN is voluntary. The primary purpose for soliciting the SSN is to provide a unique identifier to verify the identity of the applicant(s) for issuance of a federal fishery permit and to avoid inappropriate release of confidential records related to federal commercial fishery permits. In the event it is not provided, NMFS will assign a unique code that will identify your records.

PUBLIC REPORTING BURDEN STATEMENT

Public reporting burden for this collection of information is estimated to average 0.33 hour per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Sustainable Fisheries, Alaska Region, NMFS, P.O. Box 21668, Juneau, AK 99802.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to: NOAA National Marine Fisheries Service, Alaska Region, Attn: Assistant Regional Administrator, Sustainable Fisheries Division, P.O. Box 21668, Juneau, AK 99802 .

ADDITIONAL INFORMATION

Before completing this form please note the following: 1) The NMFS may not conduct or sponsor this information request, and you are not required to respond to this information request, unless the form displays a currently valid OMB control number; 2) This information is mandatory and is required to manage commercial fishing effort in the GOA and BSAI under 50 CFR 679 and under 402(a) of the Magnuson-Stevens Act (16 U.S.C. 1801) *et. seq.*; 3) Responses to this information request are confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*). It is also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of fishery statistics. These procedures have been implemented under the NMFS Operations Manual entitled, "Data Security Handbook for the Northwest-Alaska Region, National Marine Fisheries Service."

**Application Instructions
for
FEDERAL FISHERIES PERMIT or
FEDERAL PROCESSOR PERMIT**

Complete a separate application for each vessel or processor. Type or print legibly in ink; retain a copy of completed application. Mail completed forms to: NMFS Restricted Access Management (RAM) Program, P.O. Box 21668, Juneau, AK 99802-1668. If you have questions about these permits, please call the RAM at 907-586-7202 or 1-800-304-4846.

Federal Fisheries Permits

are required for all vessels conducting groundfish operations and/or retaining groundfish while targeting non-groundfish in the 3-200 mile zone off Alaska (see 50 CFR 679.4). This includes vessels fishing for groundfish, vessels processing groundfish, vessels tendering groundfish, and support vessels assisting other groundfish vessels (see 679.4)

Federal Processor Permits

are required for any Shoreside Processor or any Stationary Floating Processor (see 679.4).

Groundfish means pollock, Pacific cod, sablefish, Atka mackerel, rockfish, smelt, eulachon, capelin, sharks, skates, sculpins, octopus, squid, and any species of flatfish except Pacific halibut (see 50 CFR 679.20(a)(2)).

Processing or to process means the preparation of, or to prepare, fish or crab to render it suitable for human consumption, industrial uses, or long-term storage, including but not limited to cooking, canning, smoking, salting, drying, freezing, or rendering into meal or oil, but does not mean icing, bleeding, heading or gutting (see 50 CFR 679.2).

BLOCK A - PERMIT APPLICATION INFORMATION

Please indicate the type of permit for which you are applying for: Federal Fisheries Permit or Federal Processor Permit.

Applicants for a Federal Fisheries Permit must complete Block B, Block C, Block E and sign/date Block F (See corresponding Block instructions for details)

Applicants for a Federal Processor Permit must complete Block B, Block C (stationary floating processors) **or** Block D (shoreside processors), Block E, and sign/date Block F. (See corresponding Block instructions for more details)

If this application is being submitted in order to amend an existing federal fisheries or federal processor permit, answer yes, then provide your current federal fisheries or federal processor permit number.

BLOCK B - OWNER APPLICATION

Enter owner information for the vessel listed in Block C, the Shoreside Processor listed in Block D, or the Stationary Floating Processor listed in Block C.

1. Enter the full name(s) of the vessel or processor owner(s). If there is more than one owner, list the principal owner first; the permit will be issued to the first owner listed, with an *et al.* notation. The permit **MUST** be issued to the owner of the vessel or processor, not operators or lessees.
2. Enter your complete PERMANENT business mailing address, including state and zip code. Your permit will be sent to this address. If you need to have your permit sent to a different address, please enter your PERMANENT business address on the application and attach a note with your alternate address.
3. Enter social security number or tax identification number. **Privacy Act Statement:** Federal regulations at 50 CFR part 679 authorize collection of this information. This information is used to verify the identity of the applicant(s) and to accurately retrieve confidential records related to federal commercial fishery permits. Where the requested information is a Social Security Number (SSN), disclosure is voluntary; in the event it is not provided, NMFS will assign a unique code that will identify the records.

4. Enter a business telephone number, including area code, that is used by the vessel or processor owner. It is very important that you provide a number where we can contact you, or where we can leave messages for you. If questions arise concerning your application and we cannot contact you by phone, issuance of your permit will be delayed.
5. Enter a business fax number, include area code and business e-mail address, if any.
6. Enter the name of any company (other than the owner) that manages the operations of your vessel or processor.

BLOCK C - VESSEL OR STATIONARY FLOATING PROCESSOR INFORMATION

Complete Block C if requesting a Federal fisheries permit for a vessel **or** a Federal processor permit for a Stationary Floating Processor.

1. Enter complete vessel name as displayed in official documentation.
2. Enter homeport (city and state) as recorded in official documentation.
3. Enter U.S. Coast Guard documentation number (example: 566722)
4. Enter 5-digit State of Alaska Department of Fish & Game (ADF&G) vessel registration number (example: 51233).
5. Enter the ADF&G Processor Code
6. Enter the vessel's length overall (LOA) in feet and registered length in feet. Definition: LOA is the horizontal distance, rounded to the nearest foot, between the foremost part of the stem and the aftermost part of the stern, excluding bowsprits, rudders, outboard motor brackets, and similar fittings or attachments.
7. Enter registered gross tonnage (U.S. tons) and net tonnage (U.S. tons) as stated in official documentation.
8. Enter the shaft horsepower
9. Answer yes or no if this vessel is a vessel of the United States.
10. Answer yes or no if this vessel is to be used as a stationary floating processor.

BLOCK D - SHORESIDE PROCESSOR INFORMATION

Complete Block D if requesting a Federal processor permit for a Shoreside Processor.

1. Enter complete shoreside processor name
2. Enter name and physical location of facility or plant at which this shoreside processor is operating.
3. Enter complete business address of the physical location of shoreside, including street number, city, state and zip code.
4. Check YES or NO to Indicate whether the owner named in Block B owns this shoreside processor.
4. Enter ADF&G Processor Code.
5. Enter business telephone number, include area code.
6. Enter FAX number, include area code.
7. Enter e-mail address of the shoreside processor.

BLOCK E - PERMIT INFORMATION

1. **Area of operation.** Check one or both areas of operation (see 50 CFR 679.2) to indicate the areas of operation for which you are requesting.
2. **Federal Fisheries Permit.** If requesting a Federal fisheries permit, indicate one or a combination of the vessel operation categories (see 50 CFR 679.4(b)(3)) in the groundfish fisheries for which you are requesting.
Catcher Vessel - A vessel that is used for catching fish and that does not process onboard.
Catcher/Processor - A vessel that is used for catching fish and processing that fish.
Mothership - A vessel that receives and processes groundfish from other vessels.
Tender Vessel (buying station) - A vessel that is used to transport unprocessed fish received from another vessel to a shoreside processor, stationary floating processor, or mothership.

A vessel permitted as a Catcher Vessel, Catcher/Processor, Mothership, and/or Tender Vessel may conduct all operations authorized for a Support Vessel.)

Or check:

Support Vessel - Any vessel that is used in support of a permitted vessel, including, but not limited to, supplying a fishing vessel with water, fuel, provisions, fishing equipment, fish processing equipment or other supplies, or transporting processed fish.

A vessel permitted as a Support Vessel may not conduct activities as a Catcher Vessel, Catcher/Processor, Mothership, and/or Tender Vessel.

Recordkeeping and reporting requirements stipulated at 50 CFR part 679.5 must be followed. A logbook and appropriate forms will be sent each year to the owner of each catcher vessel greater than 60 ft LOA, mothership, catcher/processor, and vessel buying station (tender) that is issued a Federal Fisheries Permit for that year. A support vessel is not required to maintain recordkeeping and reporting.

3. **Federal Processor Permit.** If requesting a Federal processor permit, indicate whether a shoreside processor or a stationary floating processor (see 50 CFR 679.2).

Shoreside Processor - Any person or vessel that receives unprocessed fish, except Catcher/Processors, motherships, buying stations, restaurants, or persons receiving groundfish for use as bait or personal consumption.

Stationary floating processor - A vessel of the United States operating as a processor in Alaska State waters that remains anchored or otherwise remains stationary in a single geographic location while receiving or processing groundfish harvested in the GOA or BSAI.

Recordkeeping and reporting requirements stipulated at 50 CFR part 679.5 must be followed. A logbook and appropriate forms will be sent each year to the owner of each shoreside processor and stationary floating processor that is issued a Federal Processor Permit for that year.

4. **Gear Type.** If permit request is for a catcher vessel or catcher/processers, indicate the gear type(s) used for groundfish operations.
5. **Inshore/offshore allocation.** If a mothership or catcher/processor operating in the GOA (see 50 CFR part 679.2), check whether inshore or offshore. All vessels are part of the offshore component except:

Vessels less than 125 ft LOA that process no more than 126 mt per week in round-weight equivalents of an aggregate of pollock and Pacific cod;

Vessels that process pollock or Pacific cod, harvested in a directed fishery for those species, at a single geographic location in Alaska State waters during a fishing year.

You must make a selection even if at this time you do not expect to process these species. Once selected, the component may not be changed within the fishing year. However, it may be changed for the next fishing year by submitting an application for permit amendment prior to the beginning of that fishing year. For more information on the inshore/offshore regulations, contact Sustainable Fisheries Division at 907-586-7228.

BLOCK F - SIGNATURE

The owner must sign and date the application certifying that all information is true, correct, and complete to the best of the owner's knowledge and belief. The application will be considered incomplete without this signature.

PRIVACY ACT STATEMENT: Your social security number (SSN) is confidential and is protected under the Privacy Act. Disclosure of your SSN is voluntary. The primary purpose for soliciting the SSN is to provide a unique identifier to verify the identity of the applicant(s) for issuance of a federal fishery permit and to avoid inappropriate release of confidential records related to federal commercial fishery permits. In the event it is not provided, NMFS will assign a unique code that will identify your records.

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SPECIAL HANDLING OF PERMITS

Please allow at least 10 days for processing your permit. Do not wait until right before an opening to apply for your permit, as you may not receive it on time. You may FAX your permit application to us at 907-586-7354, but a permit cannot be faxed back to you.

If you would like to have your permit sent by a method other than regular mail, please attach a note indicating a method, and follow the appropriate procedure below.

Express Mail. If you would like to have your permit sent to you by U.S. Postal Express Mail, determine from the table below the weight and dimensions of the appropriate documents. Send us an express mail envelope with the correct amount of postage prepaid or send express mail stamps UNATTACHED to an envelope. NOTE: If the express mail envelope you send is too small or the postage attached is less than the amount required, your permit and logbook will be sent to you by regular U.S. mail.

Other Express Carriers. If you would like to have your permit sent to you by a private express carrier, e.g., Federal Express, UPS, DHL, etc., submit your account number and name of carrier or a prepaid envelope with the permit application.

A logbook and appropriate forms will be sent each year to the owners shown on Federal fisheries and Federal processor permits (except Support Vessel). The approximate size and weight of each logbook is given below:

	Dimensions (inches)	Weight (lb,oz)
Catcher Vessel, trawl gear logbook	11 x 12	3, 4
Catcher Vessel, Longline or pot gear logbook	12 x 14	3, 8
Catcher/Processor, trawl gear logbook	11 x 12	3, 0
Catcher/Processor, Longline or pot gear logbook	12 x 14	3, 6
Mothership logbook	11 x 12	3, 0
Buying Station logbook	11 x 12	3, 0
Shoreside Processor logbook	11 x 17	5, 0

OTHER FISHERIES AND LICENSES

Salmon Power Troll - State of Alaska Interim Use and Limited Entry Power Troll licenses serve as a Federal permit. If you do not currently possess either State license, a Federal permit may be issued provided that sometime during the years 1975-1977, you: a) operated a vessel in the 3-200 mile zone off Alaska; b) engaged in commercial fishing for salmon from that vessel in the 3-200 mile zone off Alaska; AND c) landed salmon caught with power troll gear. If you believe that you meet these conditions, please contact the RAM Division at 907-586-7202 or 800-304-4846. You will be required to provide fish tickets or other landing receipts showing compliance with the above requirements.

IFQ Fisheries

An IFQ permit is required to catch and retain sablefish with fixed gear in Federal waters (3-200 miles), and an IFQ permit and IPHC license are required to catch and retain Pacific halibut from IPHC Convention waters (the internal waters and territorial sea of Alaska and all federal waters seaward of Alaska). Owners of vessels must have a Federal Fisheries Permit to retain groundfish, including sablefish, in Federal waters. For more information on IFQ Permits, call the RAM Division at 907-586-7202 or 800-304-4846. For more information on IPHC licenses, call IPHC at 206-634-1838.

High Seas Fishing Compliance Act

U.S. vessels fishing on the high seas are required to obtain a High Seas Fishing Compliance Act permit. For more information, contact the RAM Division at 907-586-7202 or 800-304-4846.

Tanner Crab and King Crab

State of Alaska area registration serves as the required Federal area registration for catcher vessels.

State of Alaska Permits - Contact the Commercial Fisheries Entry Commission at 907-789-6150 for information on State of Alaska permits and regulations.